

U.S. GENERAL ACCOUNTING OFFICE
REVISED FINAL PERFORMANCE PLAN FOR FISCAL 2002
AND
INTERIM ADJUSTMENTS TO THE STRATEGIC PLAN

Since issuing GAO's performance plan for fiscal 2002, we have made several changes that warrant issuing a revised plan:

- We have revised the targets for our quantitative performance measures for fiscal 2002.
- We have adjusted the way in which we calculate one of our measures and introduced a new measure.
- We have expedited the assessment of our performance on the original set of qualitative performance goals, which had covered fiscal 2000 through 2002; adjusted how we assess our performance on our qualitative goals; and established a new set of qualitative performance goals and key efforts for fiscal 2002 and 2003.

This document presents those changes and is intended to be used in conjunction with GAO's *Strategic Plan, 2000–2005*. The new qualitative performance goals and key efforts constitute interim adjustments to GAO's *Strategic Objective Plans*. The strategic plan and the strategic objective plans are online at www.gao.gov/sp.html. An updated strategic plan, scheduled for publication in 2002, is now under review.

Background

In 2000, we established four strategic goals as the foundation of GAO's strategic plan:

- **Strategic Goal 1**—Provide timely quality service to the Congress and the federal government to address current and emerging challenges to the well-being and financial security of the American people.
- **Strategic Goal 2**—Provide timely, quality service to the Congress and the federal government to respond to changing security threats and the challenges of global interdependence.
- **Strategic Goal 3**—Support the transition to a more results-oriented and accountable federal government.
- **Strategic Goal 4**—Maximize the value of GAO by being a model organization for the federal government.

Each strategic goal is supported by a set of strategic objectives, and each objective is supported by a set of qualitative performance goals and key efforts that describe bodies of work GAO plans to undertake to help meet the objective, thereby serving our congressional clients and the public. For our external strategic goals 1, 2, and 3, we also use quantitative measures to assess performance against annual targets for financial and other benefits that result from our work, recommendations made and implemented, testimonies delivered, and the timely delivery of products.

This revised plan begins by discussing revisions to the fiscal 2002 targets for our quantitative performance measures and then moves on to changes made to the measures

themselves. The plan concludes with the details of the changes to the qualitative performance goals.

Quantitative Performance Targets and Measures

GAO has made two types of changes to the performance plan for fiscal 2002 in terms of the agency's quantitative performance measures. We revised some of our targets for the year and made two changes to the measures themselves.

Changes to the Fiscal 2002 Targets

We have revised the targets for five of our quantitative performance measures. The tables that follow show the original and revised targets and provide our targets and actual results for fiscal 2001 for comparison. The revisions were driven by different factors:

- We raised the financial benefits targets because of a change in the way we calculate these benefits, which we will explain in the next section.
- We raised the targets for other benefits (that is, the number of actions taken as a result of GAO's recommendations to improve agencies' management and performance) because our executives believe higher levels of attainment are feasible given the work we have done in the past.
- We raised the targets for recommendations made to reflect the type of work we are doing on information security and financial management issues. To better serve the agencies we audit, these reports make very specific and often numerous recommendations to help them correct the problems we identify.
- We reduced the testimony targets because we believe current events—the change in Congress' agenda after the September 11 and subsequent terrorists attacks and the upcoming 2002 congressional elections—make it likely that the Congress will hold fewer hearings in fiscal 2002 than in most previous years, thus reducing the opportunities GAO witnesses may have to testify.
- We reduced the timeliness target from 100 percent to 98 percent to make it more realistic but will continue to strive to deliver all of our products by the dates agreed to with their congressional requesters. A 100-percent target was idealistic in that it did not recognize the external factors GAO confronts in issuing its products, such as problems in gaining access to others' data, delays in receiving comments on our findings from the affected agencies, and unforeseeable events like the disruptions caused by the terrorist attacks on September 11 and the anthrax attacks that followed.

Agencywide Measures and Targets, Fiscal 2001–2002

Performance measure	2001		2002	
	Target	Actual	Original target	Final target
Financial benefits (billions)	\$23.0	\$26.4	\$24.0	\$30.0
Other benefits	700	799	720	770
Recommendations implemented	75%	79%	75%	75%
Recommendations made	975	1,563	1,000	1,200
Testimonies	150	151	233	200
Timeliness	100%	95%	100%	98%

Strategic Goal 1 Measures and Targets, Fiscal 2001–2002

Performance measure	2001		2002	
	Target	Actual	Original target	Final target
Financial benefits (billions)	\$12.7	\$8.9	\$13.0	\$17.0
Other benefits	196	210	198	218
Recommendations implemented	75%	71%	75%	75%
Recommendations made	349	396	357	359
Testimonies	71	73	104	93

Strategic Goal 2 Measures and Targets, Fiscal 2001–2002

Performance measure	2001		2002	
	Target	Actual	Original target	Final target
Financial benefits (billions)	\$5.1	\$10.5	\$5.3	\$7.8
Other benefits	162	188	163	178
Recommendations implemented	75%	81%	75%	75%
Recommendations made	283	618	291	460
Testimonies	36	34	62	49

Strategic Goal 3 Measures and Targets, Fiscal 2001–2002

Performance measure	2001		2002	
	Target	Actual	Original target	Final target
Financial benefits (billions)	\$5.3	\$7.0	\$5.7	\$5.2
Other benefits	342	401	359	374
Recommendations implemented	75%	85%	75%	75%
Recommendations made	343	549	352	381
Testimonies	43	42	67	58

Notes: Agencywide totals may differ from the sum of the amounts on the tables for strategic goals 1, 2, and 3 because when multiple units participate in an engagement, credit may be reflected under more than one of the goals.

"Recommendations implemented" gauges the implementation rate of recommendations GAO made 4 years prior to each respective fiscal year.

"Timeliness" is calculated only at the agency level.

Changes to the Quantitative Performance Measures

We have changed how one of GAO's performance measures is tabulated and have established a new performance measure.

Tabulating Financial Benefits

We tabulate the financial benefits generated by actions taken on our work and measure our performance against an annual target for financial benefits. In the past, we limited to 2 fiscal years the period for which financial benefits from a particular action directly attributable to, or significantly influenced by, our work could be tabulated. While we are retaining the 2-year limit for financial benefits from reductions in agencies' annual operating costs (achieved, for instance, through decreasing the number of staff assigned to a specific program in response to a GAO recommendation), beginning in fiscal 2002, we are extending the period to 5 years for financial benefits from reductions in the costs of multiyear projects and entitlements and from increases in revenues from asset sales or changes in tax laws or user fees. The longer period more accurately reflects the value realized by the taxpayers from changes brought about by our work and is a conservative measure because some of our efforts produce financial benefits that extend beyond 5 years. We continue to use a 2-year period when reporting benefits generated by changes made to federal agencies' operations because experience has shown that it is difficult for agencies to maintain the momentum on changes of this type over extended periods.

Also beginning with fiscal 2002, all financial benefits will be reported in net present value terms, a change that ensures our results will be fair and accurate regardless of inflation. The discount rate used to calculate net present value will be the average 3-year Treasury rate over the preceding fiscal year. We will update the discount rate annually based on data published by the Board of Governors of the Federal Reserve System.

As before, our staff must substantiate the financial benefits they are reporting with estimates from independent sources such as the affected agency, the Congressional Budget Office, or the Joint Committee on Taxation. Documentation substantiating the financial benefits is subject to the same rigorous quality controls we apply to our external products. In addition, our Quality and Risk Management office reviews benefit claims in excess of \$100 million, and our Inspector General's office reviews claims in excess of \$1 billion.

Measuring the Percentage of Products With Recommendations

In fiscal 2002, GAO is introducing a new measure that tracks the percentage of the agency's written products that contain recommendations to improve government operations and services. We are establishing this measure because, although we want our staff to seek solutions and make recommendations, the number of recommendations made is not necessarily a predictor of impact. A product with a single recommendation can help bring about a far-reaching improvement. Tracking what proportion of our written products offers recommendations as well as how many recommendations have been made provides a more complete picture of the extent to which we are providing decision makers with information that will help to improve government.

As with the existing measure of the number of recommendations made, the new measure will be calculated based on data prepared by an external contractor that reviews all of GAO's written products and identifies those containing recommendations. The contractor verifies the information through GAO's system for following up on recommendations. Also, GAO managers are provided with reports on the recommendations being tracked to help ensure that the contractor has correctly identified the recommendations contained in GAO reports.

Our fiscal 2002 target for this new measure is for 45 percent of our written products to contain one or more recommendations. We based the target on data that showed an upward trend for the past 3 fiscal years in the percentage of our written products containing recommendations: 33, 39, and 44 percent from fiscal 1999 through 2001. We will apply this performance measure agencywide, not at the strategic goal level.

Qualitative Performance Goals

As previously explained, we use qualitative as well as quantitative goals to assess GAO's performance. In the strategic plan published in 2000, we laid out multiyear performance goals to help us achieve our overarching strategic goals. We expected to assess our progress on the performance goals after 3 years, that is, at the end of fiscal 2002. As we gained experience with using our plan to guide our work and to consult with our congressional clients, however, we decided to synchronize our assessment cycle to coincide with the update of our strategic plan, which we committed to doing every 2 years with each new Congress. Therefore, we decided to change our assessment cycle from 3 years to 2 years and assess our performance at the end of fiscal 2001. For fiscal 2002, as part of our updated strategic plan (now under review), we have introduced a new set of performance goals geared to a 2-year assessment cycle. We will assess our performance on the new goals at the end of fiscal 2003. These performance goals and their key efforts are listed at the end of this revised plan.

Changes to the Assessment Criteria

In the strategic plan published in 2000, we anticipated evaluating our performance in terms of whether we met, exceeded, or did not meet our qualitative performance goals. When shortening the assessment cycle from 3 years to 2, we also simplified the assessment categories to "met" and "did not meet." We dropped the category of "exceeded" since we were already capturing the outcomes of our work in our financial and other benefits measures. Under our strategic goals 1 through 3—which focus on supporting the Congress and improving the federal government—our performance meets expectations when we provide information or make recommendations on the key efforts when viewed collectively. In making this assessment, the responsible GAO manager considers the number of reports issued and recommendations made across all of the key efforts related to a specific performance goal. To make the assessment process more consistent, GAO's Quality and Risk Management office provided guidance suggesting that for a performance goal to have been met, reports should have been issued or recommendations made under at least 75 percent of the key efforts.

Under the fourth strategic goal—which focuses on making GAO a model agency—our performance meets expectations when we complete the key efforts when viewed

collectively. GAO's Chief Mission Support Officer is the decision maker for all performance goals under our fourth strategic goal. She makes the final assessment based on the results and progress made on the key efforts for each performance goal. Again, guidance provided by the Quality and Risk Management office suggests that, for a performance goal to have been met, 75 percent of the key efforts should have been completed.

GAO's Quality and Risk Management office reviews the assessment and supporting documentation for all qualitative performance goals to ensure that criteria are consistently applied and that requirements are met.

Changes to the Qualitative Performance Goals

The new qualitative performance goals for fiscal 2002 and 2003 are derived in many instances from the previous strategic goals and objectives. In updating our strategic plan in 2002, however, we increased the focus on national preparedness issues and made other changes to better reflect emerging issues and congressional agendas. This updated strategic plan is now under review. The qualitative performance goals and key efforts in it begin on the next page.

List of Acronyms

C ⁴ ISR	command, control, communication, computers, intelligence, surveillance, and reconnaissance
CMS	Centers for Medicare and Medicaid Services
DOD	Department of Defense
FEMA	Federal Emergency Management Agency
GAO	General Accounting Office
GPRA	Government Performance and Results Act
HIV/AIDS	human immunodeficiency virus/acquired immunodeficiency syndrome
HUD	Department of Housing and Urban Development
INS	Immigration and Naturalization Service
IRS	Internal Revenue Service
IT	information technology
NASA	National Aeronautics and Space Administration
NATO	North Atlantic Treaty Organization
NNSA	National Nuclear Security Administration
OMB	Office of Management and Budget
SBA	Small Business Administration
SCHIP	State Children's Health Insurance Program
UN	United Nations
USDA	Department of Agriculture
VA	Department of Veterans Affairs
XML	extensible markup language

QUALITATIVE PERFORMANCE GOALS FOR FISCAL 2002 THROUGH 2003

GAO's qualitative performance goals for fiscal 2002 through 2003 are grouped below under the strategic objective for each of the agency's four major strategic goals. The performance goals are part of our updated strategic plan (covering fiscal 2002 through 2007), which is now under review.

Each performance goal has a set of key efforts that lay out the work we plan to do in fiscal 2002 and 2003 to help achieve our strategic goals and objectives. We will evaluate our performance at the end of fiscal 2003 using the criteria explained in the Data Quality and Program Evaluation section of GAO's performance and accountability report for fiscal 2001, which is scheduled to be issued on February 27, 2002, and which will be available at www.gao.gov/sp.html.

STRATEGIC GOAL 1

Provide Timely, Quality Service to the Congress and the Federal Government to Address Current and Emerging Challenges to the Well-Being and Financial Security of the American People

To achieve this goal, we will provide information and recommendations on the following:

STRATEGIC OBJECTIVE

The Health Care Needs of an Aging and Diverse Population

- Evaluate Medicare reform, financing, and operations
 - Analyze the potential consequences of Medicare structural reforms
 - Assess the effects of expanding managed care in Medicare
 - Evaluate the Centers for Medicare and Medicaid Services' (CMS) management of Medicare, including its implementation of legislative reforms and its service to providers and beneficiaries
 - Evaluate methodologies for setting fair reimbursement rates for Medicare providers
 - Assess the effects of different payment rates on access to, and the quality of, health care services
 - Evaluate CMS's safeguards and program controls over provider payments and beneficiary access and quality

- Assess trends and issues in private health insurance coverage
 - Evaluate trends in, and distribution of, health insurance coverage
 - Analyze trends in health insurance premium costs, including cost drivers, consequences, and employer and provider responses
 - Analyze potential modifications to federal tax policies for their impact on the numbers of uninsured, costs of health care services, and implementation challenges for federal and state agencies
 - Assess the impact of public and private efforts to achieve compliance with federal health insurance standards

- Assess actions and options for improving the Departments of Veterans Affairs (VA) and Defense's (DOD) health care services
 - Evaluate proposals to restructure or consolidate VA and DOD health care systems, including proposals on realigning medical education, research, unneeded physical infrastructure, and purchased care acquisition strategies
 - Assess implications of expansions of military health benefits and VA eligibility reforms
 - Assess vulnerability of VA and DOD systems to fraud, waste, and abuse
 - Examine access and quality of care provided to veterans and military beneficiaries
 - Assess VA's and DOD's efforts to provide care to populations with special needs
 - Review implementation of VA and DOD resource allocation systems, and budget formulation and execution practices
 - Review VA's role and preparedness to meet its mission of backing up DOD and assisting state and local authorities in responding to civilian disasters

- Evaluate the effectiveness of federal programs to promote and protect the public health
 - Evaluate the ability of the federal public health agencies to detect and counter emerging threats to the nation's health
 - Evaluate impediments and barriers to the adequate supply of prescription drugs and vaccines
 - Assess the regulatory structure for ensuring the safety and efficacy of medical devices, drugs, blood products, and alternative medical therapies
 - Evaluate federal efforts to regulate access to medical records
 - Evaluate the effectiveness of programs to reduce the demand for illicit drugs

- Evaluate the effectiveness of federal programs to improve the nation's preparedness for the public health and medical consequences of bioterrorism
 - Evaluate the effectiveness of federal programs in ensuring the preparedness of state and local governments for the public health and medical consequences of a bioterrorist attack
 - Evaluate the security of laboratory facilities that possess or transfer select agents and other pathogens that could pose risks for use in bioterrorism
 - Evaluate identified needs and associated cost projections for federally funded efforts at state and local government levels to improve public health surveillance, training, communication systems, and laboratories for bioterrorism preparedness
 - Evaluate problems associated with the acquisition of vaccine stockpiles for smallpox and anthrax
 - Evaluate emergency response systems and local hospital capacity to treat and care for mass casualties

- Evaluate federal and state program strategies for financing and overseeing chronic and long-term health care
 - Examine nursing homes' compliance with federal and state quality standards
 - Review federal requirements and standards and their use to ensure quality care in community-based, long-term care settings, such as home health, assisted living facilities, and adult day care.
 - Analyze public and private payment sources and strategies that finance the continuum of long-term care, including integrated programs for elderly or disabled beneficiaries who are dually eligible for Medicare and Medicaid

- Assess states' experiences in providing health insurance coverage for low-income populations
 - Review Medicaid and State Children's Health Insurance Program (SCHIP) enrollment efforts to ensure access to services
 - Evaluate Medicaid and SCHIP access to services under different service delivery systems and payment methodologies
 - Evaluate federal oversight of states' implementation of Medicaid and SCHIP

STRATEGIC OBJECTIVE

The Education and Protection of the Nation's Children

- Analyze the effectiveness and efficiency of early childhood education and care programs in serving their target populations
 - Assess the role of research-based practices for school readiness in federal early education and child care programs
 - Evaluate the design, operation, and management of major federal early education and child care programs
 - Analyze the cost, quality, and availability of child care for low-income families

- Assess options for federal programs to effectively address the educational needs of elementary and secondary students and their schools
 - Analyze the effectiveness and efficiency of federal reform efforts to improve performance and close achievement gaps for different types of students, including special education students
 - Analyze the contribution of federal programs to improving school performance through enhancing the quality and quantity of teachers, upgrading the school environment (including safety and nutrition), and assessing options for parents in the education of their children
 - Analyze the contribution of federal education programs to improving the self-sufficiency and success of teenagers as they make the transition to adulthood
 - Evaluate the adequacy of management structures, processes, and controls for federal elementary and secondary education programs for ensuring program integrity

- Determine the effectiveness and efficiency of child support enforcement and child welfare programs in serving their target populations
 - Determine whether the federal, state, and local child support enforcement programs are achieving program goals in an efficient manner
 - Determine whether the federal, state, and local child welfare programs are providing appropriate services and achieving program goals
 - Assess federal and state efforts to utilize information management technology and to safeguard sensitive child welfare and child support enforcement information

- Identify opportunities to better manage postsecondary, vocational, and adult education programs and deliver more effective services
 - Assess the efficiency and effectiveness of programs designed to promote access to and affordability of postsecondary education for students
 - Evaluate the federal role in ensuring quality in the management of postsecondary (especially student financial aid), vocational, and adult education programs
 - Assess the extent to which federal postsecondary, vocational, and adult education programs address the skills needed in the 21st century's knowledge-based economy
 - Assess implications of heightened homeland security for student visa programs, educational institutions, and students

STRATEGIC OBJECTIVE

The Promotion of Work Opportunities and the Protection of Workers

- Assess the effectiveness of federal efforts to help adults enter the workforce and to assist low-income workers
 - Assess federal oversight and management of welfare reform and federal programs to support or serve low-income workers and other individuals
 - Monitor the status of families affected by welfare reform
 - Assess state and federal efforts to transition welfare recipients into employment and to support low-income adults' work efforts
 - Analyze the fiscal impact of Temporary Assistance to Needy Families block grants on state and federal spending for low-income families

- Analyze the impact of programs designed to maintain a skilled workforce and ensure employers have the workers they need
 - Assess the effectiveness of efforts to develop a comprehensive employment assistance system to meet the needs of both employers and job seekers
 - Assess the effectiveness and impact of efforts to upgrade the skills of the workforce and respond to the demand for skilled workers in the changing economy

- Assess federal and state oversight and management of employment and training programs, including accountability systems in the decentralized workforce development system
 - Assess the effectiveness and viability of federally supported efforts to assist dislocated workers, especially in industries hard hit by an economic downturn, through financial assistance (unemployment insurance), job search assistance, and opportunities for skill upgrades
- Assess the success of various enforcement strategies to protect workers while minimizing employers' burden in the changing environment of work
 - Analyze how technological, economic, and national security issues are affecting the workplace, protections afforded to workers, and efforts to regulate them
 - Highlight the results and lessons learned from efforts to enhance worker safety and health through nontraditional methods, such as voluntary compliance or employer incentives
 - Assess federal and state oversight and management of efforts to ensure safer workplaces and healthier workers
- Identify ways to improve federal support for people with disabilities
 - Evaluate the efficiency and effectiveness of actions that federal disability programs have taken to address the service delivery needs of people with disabilities in today's changing environment
 - Evaluate the adequacy of management processes and controls of federal disability programs for ensuring program integrity
 - Assess the effectiveness and efficiency of efforts to improve access of people with disabilities to public accommodations, services, activities, and to promote their movement into the workforce

STRATEGIC OBJECTIVE

A Secure Retirement for Older Americans

- Assess the implications of various Social Security reform proposals
 - Analyze Social Security reform proposals for their impact on trust fund solvency, the budget, national savings, economic growth, and related programs
 - Analyze Social Security reform proposals for their impact on workers' benefits, especially for at-risk populations
 - Analyze the implementation and administrative features of Social Security reform proposals for their efficiency and effectiveness
 - Assess reforms other countries have made to their public retirement systems for their impact on retiree benefits, budgetary and economic effects, and applicability to the United States

- Identify opportunities to foster greater pension coverage, increase personal saving, and ensure adequate and secure retirement income
 - Improve information about private pensions and identify opportunities to foster greater participation and ensure adequate and secure retirement income
 - Analyze current federal pension regulations and associated tax policies to determine their effect on pension plan formation, plan coverage, and the adequacy and security of benefits
 - Assess the consequences of the proliferation of new pension plan designs for their effect on pension coverage and retirement income adequacy and security
 - Evaluate the characteristics of the current labor force to assess the likelihood of these workers accumulating adequate retirement savings and to determine the role of pensions in reaching an adequate retirement income
 - Examine potential policy tools available to enhance personal saving

- Identify opportunities to improve the ability of federal agencies to administer and protect workers' retirement benefits
 - Evaluate the Pension and Welfare Benefits Administration's and the Internal Revenue Service's (IRS) oversight programs to determine whether workers' private pension retirement benefits are effectively protected
 - Evaluate the Pension Benefit Guaranty Corporation's operations for their effectiveness in conducting its mission and assess the agency's policies and activities for their effect on pension coverage, financing, and adequacy and security
 - Evaluate the Social Security Administration's service delivery systems and program operations to determine whether they are being implemented fairly, effectively, efficiently, and securely
 - Assess the effectiveness of the Office of Personnel Management's federal service retirement systems in meeting the federal government's human capital goals

STRATEGIC OBJECTIVE

An Effective System of Justice

- Identify ways to improve federal agencies' ability to prevent and respond to terrorist acts and other major crimes
 - Assess the effectiveness of federal law enforcement programs to combat crimes, including terrorism
 - Evaluate the implementation and effectiveness of federal gun control laws
 - Evaluate the management and results of federal law enforcement grant programs
 - Identify and assess ways to improve federal law enforcement efforts and training to address transnational crime, including foreign-based terrorism
 - Assess the use of intelligence information in fighting crime including terrorism
 - Assess the ability of selected law enforcement agencies to recruit, train, and retain quality officers and support personnel

- Assess the effectiveness of federal programs to control illegal drug use
 - Assess the coordination, development, execution, and evaluation of portions of the National Drug Control Strategy
 - Assess the roles, responsibilities, and results of agencies involved in specific programs designed to reduce drug use
 - Review federal drug control assistance to state and local governments
 - Assess the management and effectiveness of U.S. assistance in drug-producing countries

- Identify ways to administer the nation's immigration laws to better secure the nation's borders and promote appropriate treatment of legal residents
 - Evaluate the Immigration and Naturalization Service's (INS) and the Customs Service's border enforcement efforts
 - Assess INS's processes and procedures for removing illegal and criminal aliens
 - Analyze INS's detention of aliens
 - Assess processing of aliens' applications for benefits
 - Assess INS's management improvement and organizational restructuring efforts

- Assess the administrative efficiency and effectiveness of the federal court and prison systems
 - Evaluate the judiciary's efforts to manage the workload imbalances among its individual courts
 - Assess efforts among law enforcement agencies, the judiciary, and the Bureau of Prisons to work together to use resources efficiently in locations where changes in law enforcement policies have affected caseloads significantly
 - Assess the Bureau of Prisons' progress in identifying and adopting cost-effective methods for minimizing needs for additional capacity and for constructing and operating prisons
 - Assess federal, state, and local strategies for reducing prisoner recidivism

STRATEGIC OBJECTIVE

The Promotion of Viable Communities

- Assess federal economic development assistance and its impact on communities
 - Identify approaches and best practices for measuring the impact of economic development programs
 - Assess the impact of program fragmentation on program recipients
 - Assess the impact of specific economic development initiatives on communities
 - Assess the implications of federal programs and policies on communities' efforts to plan for and manage growth and the implications of the characteristics of state, local, and metropolitan-area planning models for

achieving the goals and outcomes of federal programs (e.g., housing, transportation, and economic development)

- Assess how the federal government can balance the promotion of home ownership with financial risk
 - Assess the Department of Housing and Urban Development's (HUD) controls to manage risks including its oversight of the lenders, appraisers, and contractors that participate in HUD's loan origination, loan servicing, and management of HUD-held loans and property functions
 - Assess the financial risks associated with the activities of government-sponsored enterprises
 - Assess the impact that market and policy changes may have on HUD's single-family and multifamily insurance funds and the budget
 - Evaluate the effectiveness of federal programs, tax and other incentives, and requirements that support financing for parts of the single-family and multifamily housing markets that are considered to be underserved

- Assess the effectiveness of federal initiatives to assist small and minority-owned businesses
 - Assess the Small Business Administration's (SBA) initiatives to make its programs more efficient, effective, and helpful to small businesses, especially those least able to access credit markets
 - Assess SBA's management initiatives in areas such as organizational alignment, information technology, financial management, and human capital, and determine how these improvements may have helped SBA better meet its mission
 - Assess the impact of federal contracting policies and practices on small businesses and determine what oversight SBA provides to ensure that federal agencies meet small business contracting goals

- Determine how federal disaster assistance can enhance national preparedness and capacity to respond to and recover from natural and man-made disasters
 - Assess the Federal Emergency Management Agency's (FEMA) and other federal agencies' efforts to coordinate federal, state, and local disaster preparedness, response, and recovery efforts and ensure efficient, effective, and accountable services at all levels
 - Assess the structure, coordination, and cost-effectiveness of FEMA's disaster mitigation activities to reduce the likelihood and potential effects of both man-made and natural disasters
 - Assess the cost and benefits of implementation of existing disaster-related insurance programs
 - Assess the capacity of private insurance markets to supply coverage to protect individuals, families, and businesses from catastrophic losses, and assess federal efforts to support and supplement that protection

- Assess how well federally supported housing programs meet their objectives and affect the well-being of recipient households and communities.
 - Assess how current and new housing programs can better meet the demand for low-income housing
 - Assess federal agencies' efforts to ensure that federally assisted housing is effectively managed and remains in good physical and financial condition
 - Assess how effectively housing programs are used in combination with other community investment programs in promoting decent affordable housing and suitable living environments
 - Determine what progress HUD has made in managing program costs and operations and in addressing its high-risk performance and management challenges, including its human capital management and its acquisitions practices

STRATEGIC OBJECTIVE

The Responsible Stewardship of Natural Resources and the Environment

- Assess the nation's ability to ensure reliable and environmentally sound energy for current and future generations
 - Assess tradeoffs among alternative energy choices, principally (1) efforts to increase the supply of energy from all energy sources—fossil (oil, gas, and coal), nuclear, and renewable (wind, solar, biomass, photovoltaics, and geothermal) and (2) actions to reduce demand by using energy more efficiently; consider the effects of emerging energy technologies and research and development partnerships between the federal government and the private sector
 - Examine and assess energy security plans and efforts to (1) protect our energy infrastructure from terrorism and other sources of disruption; (2) reduce U.S. and consumer vulnerabilities to price spikes, severe weather and supply disruptions; and (3) determine the impact of energy company mergers, consolidations, and federal incentives (including tax credits) on the prices of energy and consumers
 - Assess whether aging pipelines and transmission lines have the capacity to meet the demand for reliable, safe energy delivery
 - Review the interrelationships among energy and other natural resource issues, such as environmental and land use issues, and their implications for federal energy policies and programs
 - Determine the implications of embracing energy competition and free markets as alternative means to restructure electricity markets and evaluate changing regulatory approaches to ensure that these restructured markets function properly
 - Analyze the adequacy of the Department of Energy's and the Federal Energy Regulatory Commission's organization, human capital, and management processes for supporting efficient and effective operations

- Assess federal strategies for managing land and water resources in sustainable fashion for multiple uses
 - Evaluate federal land management agencies' progress in coordinating activities, addressing resource issues, and protecting critical environmental and natural resource systems from misuse, negligence, or intentional acts
 - Review federal land management agencies' efforts to develop and implement a strategy to reduce wildfires on federal lands
 - Assess federal land management agencies' operational needs and their multibillion-dollar backlog of deferred maintenance at national parks, forests, and other facilities
 - Analyze federal efforts to obtain a fair market value for minerals and other resources extracted from federal lands, while balancing consumption and conservation needs
 - Assess federal efforts to manage the nation's rivers, oceans, and marine environments in a way that balances resource protection with consumption and conservation needs
 - Evaluate the federal government's efforts to clarify its relationship with, and meet its responsibilities to, Native Americans and Alaskan Natives
 - Analyze federal agencies' efforts to protect threatened and endangered species on federal and nonfederal lands and in bodies of water
 - Analyze the adequacy of the Department of the Interior's organization, human capital, and management processes for supporting the agency's operations

- Assess federal programs' ability to ensure a plentiful and safe food supply, provide economic security for farmers, and minimize agricultural environmental damage
 - Evaluate federal programs' ability to ensure a safe and wholesome food supply across the full spectrum of food production from the farm to the table, including guarding against terrorism
 - Assess the capability of the current food safety system to ensure the safety and quality of new emerging food products developed from scientific and technical advances, such as genetically modified foods and functional foods
 - Evaluate the effectiveness and budgetary consequences of federal programs designed to ensure a plentiful and affordable food supply and to aid farmers in times of declining global crop prices or domestic production
 - Evaluate the outcomes and costs of federal programs designed to minimize the adverse land use and environmental effects of agricultural practices
 - Evaluate the Department of Agriculture's (USDA) ability to mitigate the threats to crops and livestock from purposeful attacks and from invasive pests and diseases
 - Analyze the adequacy of USDA's organization, human capital, and management processes for supporting efficient and effective operations

- Assess federal pollution prevention and control strategies
 - Examine current and alternative strategies to reduce air pollution
 - Assess current and alternative approaches for improving the quality of the nation's surface waters

- Examine strategies for ensuring safe drinking water for all Americans, including protection from security threats and breaches
 - Assess approaches for controlling the harmful effects of pesticides and toxic substances
 - Examine the implications of global and transboundary environmental threats
 - Analyze the adequacy of pollution control agencies' organization, human capital, and management processes for supporting efficient and effective operations
- Assess efforts to reduce the threats posed by hazardous and nuclear wastes
 - Assess federal and private sector progress in identifying, transporting, and disposing of nuclear, ordnance, and hazardous waste in a safe and cost-effective manner
 - Assess federal, state, and private sector progress and performance in finding and developing environmentally acceptable sites on which to build essential waste disposal facilities
 - Assess the federal government's role and financial liability for long-term stewardship of waste cleanup sites and storage and disposal facilities
 - Analyze the adequacy of waste cleanup agencies' organization, human capital, and management processes for supporting efficient and effective operations

STRATEGIC OBJECTIVE

A Secure and Effective National Physical Infrastructure

- Assess strategies for identifying, evaluating, prioritizing, financing, and implementing integrated solutions to the nation's infrastructure needs
 - Determine the condition of the nation's infrastructure sectors and assess potential national approaches and best practices to address needs and establish a framework for the integrated systems of the future
 - Assess the effectiveness of federal management and oversight of infrastructure improvement projects as well as the cost-benefit studies and other evaluations used to justify these projects
 - Evaluate the impact of current and innovative financing strategies for funding infrastructure projects and improvements—including identifying opportunities to optimize state, local, regional, and private roles in, and accountability for, efficient investments of public funds
- Assess the impact of transportation and telecommunications policies and practices on competition and consumers
 - Determine the effects of government organization, policies, and practices and private market forces on the status of competition and the ability to provide affordable and accessible services in the transportation and telecommunications industries
 - Assess whether federal and state programs and regulations adequately protect consumers and communities from anticompetitive, abusive, and unfair business practices

- Assess the effectiveness of U.S. policies and management approaches in supporting the competitiveness and performance of the transportation and telecommunications industries in light of increased globalization and emerging technologies
- Assess efforts to improve safety and security in all transportation modes
 - Assess the effectiveness of federal, state, and local safety efforts for all modes of transportation, including the extent to which these efforts focus on correcting the root causes of transportation accidents
 - Assess federal, state, and local efforts to identify and address key vulnerabilities in the security of the nation's transportation systems
- Assess the U.S. Postal Service's transformation efforts to ensure its viability and accomplish its mission
 - Evaluate the U.S. Postal Service's financial condition and outlook, as well as its efforts to improve its financial viability
 - Assess whether postal staff and facilities are effectively deployed and used to support postal operations and identify where cost savings in these areas may be realized
 - Assess the effectiveness and efficiency of the regulatory oversight structure and other issues affecting the U.S. Postal Service's ability to meet its mission
 - Assess quality of service issues, including the U.S. Postal Service's performance compared to its performance measures and how well it protects its customers and employees from potential hazards sent through the mail
 - Evaluate the U.S. Postal Service's plans to address persistent labor-management issues, including plans to restructure its workforce, address future retirements, and improve incentive programs
- Assess federal efforts to plan for, acquire, manage, maintain, secure, and dispose of the government's real property assets
 - Assess the real property-holding agencies' abilities to manage federal real property and identify potential best practices and innovative methods to capitalize building needs, reduce life cycle costs, increase facility energy efficiency, allocate resources effectively, and increase client agency satisfaction
 - Assess efforts of federal agencies to ensure that their facilities effectively and efficiently support the agencies' strategic planning, service delivery, and mission accomplishment needs
 - Assess the efforts of federal agencies to prepare for, prevent, detect, and respond to the consequences of terrorist events and other possible security breaches aimed at federal facilities and their occupants

STRATEGIC GOAL 2

Provide Timely, Quality Service to the Congress and the Federal Government to Respond to Changing Security Threats and the Challenges of Global Interdependence

To achieve this goal, we will provide information and recommendations on the following:

STRATEGIC OBJECTIVE

The Diffuse Threats to National and Global Security

- Analyze the effectiveness of the federal government's approach to providing for homeland security
 - Evaluate the Office of Homeland Security's efforts to institutionalize and sustain the homeland security effort over the long term, including the ability to influence budget and resource allocations, prioritize programs, and coordinate roles and responsibilities across numerous agencies and all levels of government
 - Evaluate the risk management approach that underpins the strategies being developed to improve homeland security and related resource allocations
 - Evaluate the capability of all levels of government to respond to and mitigate the consequences of threats to homeland security
 - Assess offensive measures taken by federal agencies to detect, prevent, or deter terrorist attacks or naturally occurring disasters
 - Examine federal, state, and local government homeland security efforts to identify best practices and enhance intergovernmental coordination and effective resource utilization
 - Evaluate the threat analysis and linguistic support capabilities of intelligence organizations and the extent to which intelligence information is provided to federal, state, and local authorities
 - Evaluate U.S. forces protection measures including capabilities to defend against chemical and biological warfare
 - Review DOD's chemical demilitarization program to determine if the program can meet international commitments and if security and emergency preparedness is sufficient to guarantee the public's safety

- Assess U.S. efforts to protect computer and telecommunications systems supporting critical infrastructures in business and government
 - Assess computer security controls associated with critical federal systems
 - Evaluate computer security processes of unique or high-risk federal government applications, such as Social Security
 - Assess federal efforts to establish and promote public-private partnerships to reduce the threat of cyber attacks
 - Provide assistance to the Congress in identifying potential changes to computer security legislation
 - Assess the government's efforts to limit fraudulent activity such as credit card fraud over the Internet
 - Evaluate federal efforts to facilitate development of standards for communications among computers over the Internet to make it easier to conduct electronic government

- Assess federal efforts to develop and implement governmentwide improvements to computer security and critical infrastructure protection initiatives
 - Assess the effectiveness of public and private sector efforts to protect the nation's telecommunication infrastructure
- Assess the effectiveness of U.S. programs and international agreements to prevent the proliferation of nuclear, biological, chemical, and conventional weapons and sensitive technologies
 - Evaluate the management and effectiveness of executive branch efforts to minimize the proliferation of former Soviet nuclear, chemical, and biological assets that pose the greatest risk to the United States
 - Assess the effectiveness of U.S. and multilateral controls over exports of goods and technologies that could help proliferate weapons of mass destruction or destabilizing conventional weapons to sensitive regions of the world
 - Assess the ability of U.S. agencies to restrict foreign access to sensitive technologies in the United States
 - Evaluate the impacts of accords aimed at managing or reducing national arsenals of weapons of mass destruction

STRATEGIC OBJECTIVE

Military Capabilities and Readiness

- Assess the ability of DOD to maintain adequate readiness levels while addressing force structure changes needed in the 21st century
 - Assess the basis for key changes resulting from the Quadrennial Defense Review and other strategic reviews
 - Evaluate DOD's progress in developing and implementing its role in homeland security
 - Assess the services' readiness to accomplish their missions
 - Assess the basis for force structure requirements and evaluate alternatives for achieving national security goals
 - Assess service plans for transforming their forces to meet future challenges
 - Assess the ability to deploy and sustain U.S. forces overseas
 - Assess DOD's efforts to effectively use all elements of its total force
- Assess overall human capital management practices to ensure a high-quality total force
 - Assess DOD's human capital management of its civilian workforce
 - Examine benefits structure for active duty and reserve components to determine whether benefits have kept pace with the changing demographics
 - Analyze data from surveys of reserve component personnel to provide information on perceptions of quality-of-life issues and their relationship to recruiting and retention of reserve personnel
 - Assess DOD's professional military education programs

- Evaluate the U.S. Investigations Service's quality assurance procedures for personnel security investigations performed under contract with DOD
- Identify ways to improve the economy, efficiency, and effectiveness of DOD's support infrastructure and business systems and processes
 - Identify ways to improve the economy, efficiency, and effectiveness of existing logistics support activities (transportation, inventory management, maintenance, disposal, etc.)
 - Identify ways to help DOD reengineer its logistics systems to meet future needs
 - Identify ways to improve the economy, efficiency, and effectiveness of other DOD business processes and management plans and assess progress being made in identifying best practices and implementing reforms such as competitive sourcing, privatization, and partnership arrangements
 - Identify ways to reduce excess facilities infrastructure and costs, improve the maintenance and repair of facilities, and improve planning for long-term recapitalization of facilities
 - Assess DOD compliance with legislative mandates governing provision of logistical support
- Assess the National Nuclear Security Administration's (NNSA) efforts to maintain a safe and reliable nuclear weapons stockpile
 - Assess NNSA's efforts at establishing effective personnel, procurement, and planning systems to address the workforce and infrastructure challenges it faces
 - Assess NNSA's capabilities to build and maintain the necessary experimental and production facilities to support a safe and reliable stockpile
 - Assess the extent to which NNSA has developed an effective and efficient security program to protect nuclear weapons material and information
- Analyze and support DOD's efforts to improve budget analyses and performance management
 - Track DOD's obligations of its annual appropriations and examine how various elements of the defense budget are being spent, including special supplemental appropriations
 - Analyze the extent to which key aspects of the DOD budget submission are reasonable and justified
 - Assess the DOD future years' plans for their long-term realism and affordability
 - Assess DOD's implementation of Government Performance and Results Act (GPRA) principles and whether they address DOD's major management challenges and high-risk areas
 - Assess the effectiveness of DOD's efforts to improve its overall operations and to address major performance and accountability challenges and areas identified as high risk

- Assess whether DOD and the services have developed integrated procedures and systems to operate effectively together on the battlefield
 - Evaluate how DOD is equipping its forces to achieve joint capabilities
 - Evaluate DOD's efforts to field integrated command, control, communication, computers, intelligence, surveillance, and reconnaissance (C⁴ISR) and weapons systems
 - Assess extent to which DOD's development and acquisition of C⁴ISR systems will lead to information superiority and greater battlefield awareness
 - Assess DOD's efforts to experiment with future joint war-fighting concepts and capabilities
 - Assess DOD's activities to prepare its forces for joint operations
 - Evaluate DOD's plans for conducting integrated military operations with the North Atlantic Treaty Organization (NATO) and other international partners

- Assess the ability of weapon system acquisition programs and processes to achieve desired outcomes
 - Provide brief annual status and risk updates on a wide range of weapon systems, observing trends in acquisition performance and opportunities for budgetary actions
 - Target reviews of individual weapon systems to assess their ability to achieve outcomes early enough so that DOD can take action well ahead of major decisions
 - Assess barriers that prevent DOD from advancing technology while at the same time developing new weapons more quickly and predictably
 - Assess how the processes that provide key resources to acquisition programs help—or hinder—achieving desired outcomes

STRATEGIC OBJECTIVE

The Advancement and Protection of U.S. International Interests

- Analyze the plans, strategies, costs, and results of the U.S. role in conflict interventions
 - Assess U.S. efforts to stabilize areas of conflict and manage their transition to a sustainable desired outcome
 - Assess the United Nations' (UN) efforts to address the impact of human immunodeficiency virus/acquired immunodeficiency syndrome (HIV/AIDS) on peacekeeping operations

- Analyze the effectiveness and management of foreign aid programs and the tools used to carry them out
 - Determine the accountability for and effectiveness of U.S. humanitarian assistance, including the sequencing and coordination of its various components
 - Evaluate U.S. and multilateral strategies for fighting transnational diseases, crime, and corruption

- Assess the effectiveness of U.S. and donor approaches for assisting transition countries
 - Evaluate U.S. strategies for stemming the flow of illicit narcotics from the Andean region
 - Assess the comparative advantages of various foreign assistance mechanisms and institutions in accomplishing differing U.S. objectives
- Analyze the costs and implications of changing U.S. strategic interests
 - Assess U.S. efforts to build regional and global coalitions aimed at eroding terrorists networks, including their sources of financial support
 - Assess the costs and implications for U.S. security interests of changes in the European security environment, including further NATO enlargement, emerging European security institutions, European integration, and instability in southeastern Europe
 - Assess the implications for U.S. strategic interests, military alliances, and commitments in central and south Asia of changing security policies, military capabilities, and threats
 - Assess U.S. support for the efforts of countries in the Western Hemisphere to enhance their security through controlling drug trafficking and fostering democratization
 - Evaluate U.S. efforts to support its interests and promote security in the Middle East through economic and security assistance and through other means
- Evaluate the efficiency and accountability of multilateral organizations and the extent to which they are serving U.S. interests
 - Examine the UN's efforts to impose international sanctions on rogue states
 - Assess multilateral organizations' capabilities and effectiveness in carrying out their missions
 - Assess U.S. participation in and oversight of multilateral organizations
- Assess the strategies and management practices for U.S. foreign affairs functions and activities
 - Analyze executive branch efforts to implement foreign policy reforms and to integrate policies and program across agencies
 - Assess efforts to control how immigrants and nonimmigrants enter and remain in the United States
 - Examine U.S. resources and programs devoted to public diplomacy
 - Evaluate and assess the management practices of the foreign affairs agencies, including accountability, infrastructure, technology, human capital, business operations, security, and administrative functions

STRATEGIC OBJECTIVE

The Impact of Global Market Forces on U.S. Economic and Security Interests

- Analyze how trade agreements and programs serve U.S. interests
 - Assess preparations for, and progress in, trade negotiations
 - Assess the concerns of civil society on trade globalization
 - Evaluate implementation of and compliance with trade agreements, including China's adherence to its World Trade Organization commitments
 - Evaluate structure, processes, and resources that are used to develop and implement U.S. trade policy and programs
 - Evaluate relationship between trade and other U.S. policy goals and emerging international challenges

- Improve understanding of the effects of defense industry globalization
 - Evaluate the commodity classification and jurisdiction procedures for establishing export licensing responsibility
 - Assess export licensing exemption for Canada
 - Evaluate controls over foreign participation in critical U.S.-funded research, development, and production efforts
 - Evaluate the effectiveness of DOD's controls over defense facilities
 - Evaluate reforms of the foreign military sales programs
 - Assess the effectiveness of export control enforcement mechanisms
 - Determine the degree to which U.S. military superiority is protected in the technology transfer approval process

- Assess how the United States can influence improvements in the world financial system
 - Examine the roles, missions, and operations of international financial institutions in the world's financial system
 - Assess the effectiveness of activities and strategies to maintain the stability of the international financial system and address financial crises
 - Analyze proposals to change a portion of multilateral lending to grants to mitigate national debt burdens for very poor countries

- Assess the ability of the financial services industry and its regulators to maintain a stable and efficient global financial system
 - Assess regulatory agencies' efforts to ensure global financial system integrity, especially regarding challenges posed by financial interdependence across institutions, markets, and countries
 - Assess regulatory efforts to ensure effective functioning of the nation's financial markets in the light of cross border competition
 - Assess regulators' response to the impact of financial conglomerates on safety, soundness, and competition in the financial services industry

- Evaluate how prepared financial regulators are to respond to change and innovation
 - Assess how regulatory oversight adapts to financial firms whose businesses cross the traditional lines of functional regulation
 - Evaluate how well regulatory agencies are responding to innovations in financial products
 - Assess how well regulators use technology to increase flexibility and reduce regulatory burdens

- Assess the effectiveness of regulatory programs and policies in ensuring access to financial services and deterring fraud and abuse in financial markets
 - Determine whether consumers and businesses, particularly low- and moderate-income consumers and small businesses, have appropriate access to financial services and how effective regulatory programs are in ensuring fair and open access to financial markets
 - Assess the effectiveness of regulatory programs and policies, including accounting, disclosure, and auditing requirements, in deterring fraud and abuse in the financial marketplace

STRATEGIC GOAL 3

Help Transform the Government's Role and How It Does Business to Meet 21st Century Challenges

To achieve this goal, we will provide information and recommendations on the following:

STRATEGIC OBJECTIVE

The Implications of the Increased Role of Public and Private Parties in Achieving Federal Objectives

- Analyze the modern service-delivery system environment and the complexity and interaction of service-delivery mechanisms
 - Develop a comprehensive approach to array, describe, and relate the tools, parties, and management processes used to achieve national goals
 - Review specific federal mission areas, such as higher education or responses to distressed economic sectors, to test the applicability of this approach and to gain a more complete understanding of oversight, design, and performance management challenges
 - Develop and test new or revised assessment criteria that reflect the modern service delivery environment that can be used in ongoing and future engagements

- Assess how intergovernmental relationships and the participation of nongovernmental organizations affect the implementation of federal programs and the achievement of national goals
 - Identify fiscal, policy, and programmatic trends among federal, state, and local governments over the past several decades
 - Identify the implications of using nongovernmental third parties—such as nonprofit, faith-based, and for-profit organizations—to deliver public services
 - Assess the level of coordination and integration between the levels of government in preparing for and responding to natural and man-made disasters and terrorist attacks
 - Develop intergovernmental frameworks on federal, state, and local roles in regulation and in the effective delivery of federal programs
 - Identify issues the Congress will need to address during the reauthorization debate on welfare reform at the end of fiscal 2002

- Assess the effectiveness of regulatory administration and reforms in achieving government objectives
 - Evaluate how effective procedural rulemaking requirements have been in achieving regulatory reform goals and improving the effectiveness of rules
 - Determine why agencies initiated major health and safety rules and whether those rules are addressing the most significant risks
 - Assess the information that agencies use to decide what and how to regulate
 - Compare agencies' methods of estimating the costs and benefits of regulatory actions with best practices

STRATEGIC OBJECTIVE

The Government's Capacity to Better Deliver Public Services

- Identify and facilitate the implementation of human capital practices that will improve federal economy, efficiency, and effectiveness
 - Assess agencies' progress in integrating strategic human capital management into program and mission decision making
 - Identify best practices in leadership, organizational continuity, and succession planning
 - Identify options for improving the federal government's ability to attract, retain, train, and develop staff with skills that meet current and emerging needs
 - Develop approaches for better instilling a "performance culture" in agencies that aligns management, decision making, and accountability with results

- Identify ways to improve the financial management infrastructure capacity to provide useful information to manage for results and costs day to day
 - Work with the Office of Management and Budget (OMB) and the Treasury to define conceptually how to measure financial management success and develop key performance indicators
 - Monitor the management of projects to modernize financial management systems and assess whether they provide meaningful, useful information
 - Analyze and report on agencies' progress in implementing federal accounting standards and other Federal Financial Management Improvement Act requirements
 - Identify financial management best practices and suggest ways to improve financial management operations, organizations, and human capital practices
 - Fulfill accounting, auditing, and internal control standards setting responsibilities

- Assess the government's capacity to manage information technology to improve performance
 - Continue to build on efforts to review the integrity of key systems—including operational systems and new systems development and acquisition efforts—and processes
 - Assess federal efforts to develop and implement governmentwide improvements to computer security and to implement critical infrastructure protection initiatives
 - Continue to develop best practice evaluations of specific elements of information technology management and make available guidance and methodologies based on these studies
 - Apply these guidelines and methodologies to determine institutional and system specific management capability and, thereby, government performance and accountability
 - Assess agencies' progress in completing complex multiyear modernization efforts needed to serve government and the public

- Assess efforts to manage the collection, use, and dissemination of government information in an era of rapidly changing technology
 - Examine issues related to the oversight of the Paperwork Reduction Act and reauthorization of OMB's Office of Information and Regulatory Affairs
 - Assess agencies' strategies and plans to guide the government's transition to conducting business electronically
 - Review the results and lessons learned from the 2000 Census and monitor the Census Bureau's planning efforts for the 2010 Census
 - Assess the government's progress using technology to store and preserve public records
 - Review the government's ability to efficiently and effectively disseminate government information using traditional methods and new electronic technologies
 - Examine the government's efforts to provide the public with efficient and responsive access to publicly funded research and government records
 - Assess the government's ability to protect the privacy of individuals' information

- Assess the effectiveness of Federal Statistical System in providing relevant, reliable, and timely information that meets federal program needs
 - Assess the effectiveness of a fully implemented American Community Survey to provide reliable and timely information to meet the needs of federal programs and to replace existing statistical programs
 - Assess the need to change existing measures or to provide additional measures of economic performance to better reflect a knowledge-based economy
 - Identify major coverage and timing gaps in data related to retirement incomes and health insurance

- Identify more business-like approaches that can be used by federal agencies in acquiring goods and services
 - Study the policies and procedures governing the transfer of commercial activities between the public and private sectors
 - Assess the capabilities of the acquisition workforce to plan, manage, and control the purchases of goods and services
 - Determine how the policies and practices that govern agencies' relationships with industry can be made more cost-effective, incorporate commercial practices, and maximize efficiencies offered by technology
 - Determine whether innovative contracting initiatives used to acquire services are achieving their intended objectives

STRATEGIC OBJECTIVE

The Federal Government's Progress Toward Being More Results-Oriented, Accountable, and Relevant to Society's Needs

- Analyze and support efforts to instill result-oriented management across the government
 - Monitor agencies' progress in making the implementation of GPRA an integral part of their operations
 - Assess the progress agencies and OMB are making in integrating performance considerations into resource allocation decisions
 - Examine how different program tools, strategies, and organizational arrangements can be used to maximize results
 - Analyze how the shift to a results orientation is promoting more complete integration of budget, accounting, and performance information
- Highlight the federal programs and operations at highest risk and the major performance and management challenges confronting agencies
 - Determine the progress agencies are making in addressing the high-risk areas and major management challenges identified in GAO's most recent *Performance and Accountability Series and High Risk Update*
 - For each new Congress, update areas identified as high-risk and major management challenges—adding new ones and removing ones that are no longer applicable
 - Identify actions that GAO believes agencies or the Congress should take to resolve high-risk areas and major management challenges
- Identify ways to strengthen accountability for the federal government's assets and operations
 - Perform financial analyses, undertake specifically requested financial reviews, and conduct a wide range of statutorily mandated financial audit work
 - Assess internal control and recommend improvements to ensure effective internal control is in place and operating as intended
 - Conduct forensic audits and investigations to highlight vulnerabilities and to identify potential instances of fraud and abuse
 - Identify and suggest improvements in a range of areas affecting program performance and accountability such as improper payments, debt collection, deferred maintenance, asset control, user fees, credit cards, and social insurance
 - Analyze the activities and capacity of the accountability community, including the inspectors general, in overseeing federal programs and funds
- Promote accountability in the federal acquisition process
 - Provide accountability in federal acquisitions through the bid protest process
 - Provide, in the context of bid protest decisions, consistent governmentwide interpretations of procurement statutes and regulations and determine whether contracting agencies in the protested procurements acted lawfully

- Assess the management and results of the federal investment in science and technology and the effectiveness of efforts to protect intellectual property
 - Identify ways to improve the funding and coordination of activities across government agencies
 - Assess the management and results, including economic impact and human capital initiatives, of major federal science and technology programs
 - Determine the effectiveness of technology transfer, patent office, and federal information services
 - Identify options for restructuring and better managing the nation's deteriorating federal laboratories
 - Evaluate the National Aeronautics and Space Administration's (NASA) efforts to control and manage the nation's multibillion-dollar research investment in the International Space Station, Space Shuttle fleet, Space Launch initiative, and assess implementation of GPRA

- Identify ways to improve the quality of evaluative information and explore the use of governmentwide performance indicators to gauge progress in meeting societal needs.
 - Help build the government's capacity to evaluate the implementation and effects of policies and programs
 - Identify and assess methodological tools for measurement and analysis
 - Identify strategies for evaluating issues that cross program boundaries
 - Develop definitions for broad-level indicators that can measure the effects of policies and programs on societal needs
 - Identify methodologies for developing broad-level indicators using statistical information

STRATEGIC OBJECTIVE

The Government's Fiscal Position and Approaches for Financing the Government

- Analyze the long-term fiscal position of the federal government
 - Update and refine GAO's long-term budget model to highlight future budgetary and economic consequences of current and alternative fiscal policy paths, and examine the potential relevance of new fiscal policy targets or sustainability measures
 - Monitor the implications of current fiscal policy for federal debt management and continue analysis of trust fund investment and financing issues
 - Identify approaches to enhancing long-term economic growth through an examination of alternative ways to increase national saving and investment and through an examination of policies affecting the future size of the labor force
 - Define a taxonomy of different types of federal budgetary commitments and identify ways to promote greater transparency of the costs of long-term commitments, such as environmental liabilities and social insurance programs

- Analyze the structure and information for budgetary choices and explore alternatives for improvement
 - Review annual compliance with the Budget Enforcement Act and evaluate ways to extend or adapt the budget enforcement regime beyond its expiration in fiscal 2002
 - Analyze alternative ways to consider federally owned capital and federal spending on physical capital investment in the budget and international experiences in making physical capital investment decisions
 - Analyze scorekeeping rules for capital assets and develop alternatives to help ensure the best economic value
 - Examine the capital planning process at agencies investing in major capital projects
 - Periodically report on the budget and oversight implications of GAO's audits and evaluations and work to develop tools to identify major budget drivers and budgetary challenges facing key federal agencies or programs

- Contribute to congressional deliberations on tax policy
 - Determine the potential affects of proposals to reduce the compliance burden for individuals and small businesses and to simplify the tax system
 - Assess the effectiveness of selected tax incentives, including deductions for tax exempt organizations and the earned income tax credit, at meeting their goals
 - Determine the potential affect of various options for taxing electronic commerce

- Support congressional oversight of IRS's modernization and reform efforts
 - Determine what progress IRS has made with modernization, including restructuring, and whether these efforts are contributing to IRS's organizational goals, including improvements in service to taxpayers
 - Evaluate IRS's expenditure plans for systems modernization
 - Appraise IRS's human capital management strategies, including its efforts to develop managers
 - Assess the progress IRS has made in implementing a system of balanced performance measures to assess the progress made in meeting the agency's goals
 - Assess IRS's submission processing, examination, and collections programs in light of mandates to protect taxpayers' rights and to improve service

- Assess the reliability of financial information on the government's fiscal position and financing sources
 - Annually audit and report on the U.S. government's financial statements and the adequacy of internal control and on financial information reported for major components of the government's financial operations
 - Work cooperatively with OMB and the Treasury in addressing impediments to forming an opinion on the U.S. government's consolidated financial statements

- Work cooperatively with OBM, the Treasury, and agencies to (1) suggest solutions to material control deficiencies and compliance issues, (2) improve the auditability of agency financial information, and (3) reduce the use of nonsubstantive efforts to prepare financial statements

STRATEGIC GOAL 4

Maximize the Value of GAO by Being a Model Federal Agency and a World-Class Professional Services Organization

To achieve this goal, we will complete the following work:

STRATEGIC OBJECTIVE

Sharpen GAO's Focus on Clients' and Customers' Requirements

- Continuously update client requirements
 - With each new Congress, increase outreach by the comptroller general, Congressional Relations, and appropriate other senior executives to the Senate and House leadership; committee chairs; ranking minority members; and members responsible for GAO's oversight and appropriations
 - Meet annually with committee leaders and their key staff to discuss ongoing work and emerging issues that may influence future requests
 - Solicit input and involvement from our clients in developing and carrying out our strategic plan
 - Develop high-quality approaches to gauge our external clients' satisfaction on an on-going basis and use the results to manage and be responsive to their needs
 - Implement a Web-based client feedback survey on select reports and testimonies
 - Outreach by the comptroller general and other GAO senior executives to other federal, nonfederal, and international agencies, organizations, and institutions to facilitate improvements in government
- Develop and implement stakeholder protocols and refine client protocols
 - Implement clearly defined, consistently applied, well-documented, and transparent policies and protocols for GAO's work relating to agencies and investigative engagements
 - Develop and implement clearly defined, consistently applied, well-documented, and transparent international protocols
 - Analyze the implementation of GAO's protocols for working with the Congress and determine if refinements should be made
- Identify and refine customer requirements and measures
 - Develop and implement a strategy to change the culture of customer service within GAO's mission support community
 - Develop and implement an agencywide strategy for determining customer requirements, to include soliciting input and involvement from our customers on our strategic direction
 - Identify and implement appropriate communication mechanisms, such as service-level agreements and Web-based guides, on how we plan to meet customer requirements
 - Design and implement a system of measures to help managers assess customer requirements, provide needed support, and improve business processes

- Monitor and assess the newly realigned mission support structure to determine whether the component organizations are aligned and staffed to meet customer requirements, and recommend adjustments, as needed

STRATEGIC OBJECTIVE

Enhance Leadership and Promote Management Excellence

- Foster an attitude of stewardship to ensure a commitment to GAO's mission and core values
 - Select candidates for leadership according to clearly defined criteria anchored in GAO's core values
 - Develop leaders and candidates for leadership through programs that promote GAO's core values, performance excellence, and stewardship
 - Develop a core curriculum for GAO managers that focuses on understanding the congressional environment and achieving excellence in performance
 - Communicate and apply the new executive performance standard that emphasizes stewardship as an essential component of executive competency
- Implement an integrated approach to strategic management
 - Institutionalize, as an ongoing strategic planning function, the process used to identify, monitor, and analyze global, national, and regional trends that have the capacity to significantly affect government and the American society and integrate the results into engagement planning
 - Align the strategic plan, budget, and new competency-based performance management system
 - Implement a balanced scorecard of measures and feedback that focuses on clients, results, and people to gauge overall organization performance
 - Revise current systems and processes to systematically review progress toward strategic objectives and performance goals and make adjustments as needed
 - Produce performance and accountability reports that clearly link resources spent to results achieved in our strategic goals and objectives
- Continue to provide leadership in strategic human capital management planning and execution
 - Implement a human capital strategic plan to support GAO's strategic goals
 - Sustain a systematic workforce planning process to ensure that GAO hires, retains, or contracts for the appropriate number of staff with the competencies needed to achieve its mission
 - Refine the agency recruiting and hiring programs to target staffing gaps identified through workforce planning efforts
 - Implement an agencywide succession planning model

- **Maintain integrity in financial management**
 - Review GAO's financial systems' compliance with federal financial management guidelines on a regular basis to ensure exemplary practices and systems
 - Annually obtain an independent audit of GAO's financial statements by a certified public accounting firm to ensure the overall integrity of GAO's financial reporting, systems, and internal controls, and ensure compliance with applicable laws and regulations

- **Use enabling technology to improve GAO's crosscutting business processes**
 - Develop a partnership between technology staff and our internal customers to define business requirements and determine how technology can best support those requirements
 - Refine and update the GAO information technology (IT) plan, which provides the foundation for technology initiatives and ensures a secure IT environment in support of GAO's strategic and business goals
 - Develop and maintain a GAO enterprise information architecture, including a concept of operations, that provides an integrated view of the agency's business processes
 - Maintain an active IT investment committee that guides the direction of GAO's IT investment policies, processes and portfolio, and links GAO's IT investment decisions to the agency's strategic direction
 - Continue our partnership with the clerk of the House of Representatives to develop XML (extensible markup language) applications for testimonies and other products
 - Develop and implement, using enabling technology, a new intake process for congressional requests and correspondence and a new way to document interactions with clients
 - Identify and implement enabling technology for the automated delivery of human capital services

- **Provide a safe and secure workplace**
 - Assess threats to GAO's people, information, buildings, and other key assets and implement enhanced security processes and procedures to guard against such threats
 - Review and update GAO's emergency preparedness and response plan
 - Develop a GAO continuity of operations plan
 - Implement a comprehensive IT security program that embodies best practices

STRATEGIC OBJECTIVE

Leverage Institutional Knowledge and Experience

- Expand GAO's use of the World Wide Web as a knowledge tool
 - Conduct a Web usability study to recommend enhancements to the agency's external Web site
 - Develop standards to govern the content and appearance of GAO's intranet sites
 - Identify and develop training initiatives to increase awareness and use of Web-based knowledge services
- Develop a framework to manage the collection, use, distribution, and retention of organizational knowledge
 - Assess internal management processes for identifying and preserving valuable organizational knowledge and develop a long-range strategy for implementing needed enhancements
 - Establish communities of practice that support cross-cutting themes within the strategic goals
 - Pilot knowledge sharing initiatives among teams
 - Facilitate integration of knowledge from GAO's internal technical specialists into engagements
 - Assess the usefulness of portal technology for access to and delivery of information to GAO staff
 - Develop a communications strategy for identifying and sharing information across GAO and with our clients, external organizations, and the press
 - Develop short- and long-term communications standards for various media to guide the presentation of all of GAO's knowledge products
 - Complete the integration of GAO's document management system with electronic record keeping capabilities
- Strengthen relationships with other national and international accountability and professional organizations
 - Inform GAO's strategic planning and work processes through the use of the Comptroller General's Advisory Board, the intergovernmental audit forums and domestic working groups, the International Organization of Supreme Audit Institutions and global working groups, and other external government accountability and professional organizations.
 - Initiate and support collaborative national and international audit efforts and provide technical assistance

STRATEGIC OBJECTIVE

Continuously Improve Our Business and Management Processes

- Reengineer internal business and administrative processes
 - Identify best practices and processes used by other client-focused organizations in carrying out key business functions and develop plans to replicate them in GAO, where appropriate

- Develop a framework for identifying priorities for incremental process improvement and business process reengineering efforts on the basis of staff concerns, client needs, and best practices of other organizations
 - Undertake high-priority incremental improvement and business reengineering efforts using matrixed teams
 - Assess business and administrative processes to determine if alternative means of delivering services or products would be more efficient or effective
 - Develop guidelines for obtaining products and services and make them available to staff
 - Develop appropriate mechanisms to measure and assess customer satisfaction with products and services
- Reengineer GAO's product and service lines
 - Benchmark GAO products, services, and processes against high performing organizations to identify areas for improvement
 - Work with the client to identify appropriate media for communicating our work results
 - Establish a systematic process to act on client feedback to improve products, services, and processes
 - Continue to assess and improve the report production process
- Improve GAO's job management processes
 - Evaluate the effectiveness of GAO's risk management approach to designing engagements and developing quality products
 - Identify and prioritize incremental process improvements or reengineering efforts related to the job management process on the basis of staff concerns, client needs, and best practices of other organizations

STRATEGIC OBJECTIVE

Become the Professional Services Employer of Choice

- Maintain an environment that is fair, unbiased, family-friendly, and promotes and values opportunity and inclusiveness
 - Affirmatively recruit a broad spectrum of candidates for employment in order to maximize GAO's ability to attract the highest quality workforce
 - Develop a strategy to identify and eliminate artificial barriers to a full contribution by all GAO employees to the mission of the agency
 - Monitor and recommend changes, as appropriate, to the compensation and performance management systems to ensure they are fair and unbiased and promote workplace excellence
 - Establish an effective system for early and efficient resolution of employee concerns and complaints
 - Assess our human capital policies to assure the inclusion of family-friendly practices and identify opportunities for improvement
 - Assess how different workforce management tools and inclusiveness programs can be used to maximize results and incorporate those tools in GAO, where appropriate

- Improve compensation and performance management systems
 - Finalize and implement a competency-based performance management system for analysts and analyst-related staff that will improve individual and team performance in support of the agency's core values, strategic plan, and performance goals
 - Develop a new performance management system for attorneys and mission support staff
 - Provide meaningful performance incentives, including recognition and reward programs, to support the agency's performance management systems
 - Research and implement a comparable pay for performance system for mission support staff

- Develop and implement a training and professional development strategy targeted toward competencies
 - Redesign GAO's training and learning curriculum based on the 12 GAO-defined performance competencies for analysts and assistant directors, followed by curriculum redesign based on performance competencies and best practice data for mission support staff and attorneys
 - Train GAO staff on the new competency-based performance management systems
 - Identify and deliver commercially available training related to the competencies and limit internally developed learning opportunities to activities that are unique to GAO
 - Institute a centrally funded external training program to develop select managers' and executives' competencies
 - Procure a Web-based learning management system to support competency-based, self-directed learning, including individual development plans and more e-learning options
 - Restructure the training and learning function to more efficiently and effectively support new approaches and incorporate best practices

- Provide our people with tools, technology, and a working environment that is world-class
 - Provide reliable and modern technology, tools, and systems that balance wants, needs, and affordability and support a mobile flexible work environment
 - Evaluate and realign space in the GAO headquarters building to facilitate working relationships among staff, to provide a supportive physical environment, and to efficiently and effectively use space
 - Complete the mission and mission support physical relocations in a way that minimizes disruption of work and quality of life
 - Develop and implement, as appropriate, energy use strategies at GAO headquarters to better control costs through strategic energy purchasing, efficient use, and implementation of current and emerging technologies
 - Reengineer the property control process to improve control and decrease reconciliation requirements